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09/104,947	06/25/1998	KENT J. FORBORD	1169.12-0314	4927
7590 07/20/2004			EXAMINER .	
JENNIFER M. BUENZOW , SEAGATE TECHNOLOGY LLC INTELLECTUAL PROPERTY DEPT SHK2LG 1280 DISC DRIVE			KLIMOWICZ, WILLIAM JOSEPH	
			ART UNIT	PAPER NUMBER
	MN 55379-1863	2652	37	
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Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
	09/104,947	FORBORD, KENT J.
Office Action Summary	Examiner	Art Unit
	William J. Klimowicz	2652
The MAILING DATE of this communication app Period for Reply	pears on the cover sheet with the o	correspondence address
A SHORTENED STATUTORY PERIOD FOR REPL THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.1 after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a repl - If NO period for reply is specified above, the maximum statutory period - Failure to reply within the set or extended period for reply will, by statute Any reply received by the Office later than three months after the mailin earned patent term adjustment. See 37 CFR 1.704(b).	136(a). In no event, however, may a reply be tingly within the statutory minimum of thirty (30) day will apply and will expire SIX (6) MONTHS from a cause the application to become ABANDONE	mely filed ys will be considered timely. In the mailing date of this communication. ED (35 U.S.C. § 133).
Status		
1)⊠ Responsive to communication(s) filed on <u>16 J</u> 2a)⊠ This action is FINAL . 2b)□ This 3)□ Since this application is in condition for alloward closed in accordance with the practice under B	s action is non-final. nce except for formal matters, pre	
Disposition of Claims		
4) ☐ Claim(s) 8-10,15-17 and 36-51 is/are pending 4a) Of the above claim(s) 8-10 and 15-17 is/are 5) ☐ Claim(s) is/are allowed. 6) ☐ Claim(s) 36-51 is/are rejected. 7) ☐ Claim(s) is/are objected to. 8) ☐ Claim(s) are subject to restriction and/or	e withdrawn from consideration.	
Application Papers		
9) The specification is objected to by the Examine 10) The drawing(s) filed on is/are: a) acc Applicant may not request that any objection to the Replacement drawing sheet(s) including the correct 11) The oath or declaration is objected to by the Examine	cepted or b) objected to by the drawing(s) be held in abeyance. Se tion is required if the drawing(s) is ob	e 37 CFR 1.85(a). sjected to. See 37 CFR 1.121(d).
Priority under 35 U.S.C. § 119		
12) Acknowledgment is made of a claim for foreign a) All b) Some * c) None of: 1. Certified copies of the priority document 2. Certified copies of the priority document 3. Copies of the certified copies of the priority application from the International Burea * See the attached detailed Office action for a list	ts have been received. Is have been received in Applicat writy documents have been receive u (PCT Rule 17.2(a)).	ion No ed in this National Stage
Attachment(s) 1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail D 5) Notice of Informal F 6) Other:	r (PTO-413) ate Patent Application (PTO-152)

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DETAILED ACTION

Claim Status

Claims 8-10, 15-17 and 36-51 are currently pending.

Claims 1-7, 11-14 and 18-35 have been cancelled.

Claims 8-10 and 15-17 are withdrawn from further consideration by the Examiner, 37 CFR 1.142(b), as being drawn to a non-elected species.

Request for Interview

The Examiner placed a telephone call (on Monday, July 19, 2004 at 2:05 PM ET) to the Applicants' representative, Mitchell K. McCarthy, as per Mr. McCarthy's request in Paper No. 36 (filed January 16, 2004). The Examiner was informed by the receptionist that Mitchell McCarthy no longer was working for the firm. The receptionist also informed the Examiner that she was unaware who was now handling the application. The Examiner notes that no change in power of attorney has been filed after the request for an interview by Mr. McCarthy.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 44, 45 and 50 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

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With regard to claim 44, the phrase "wherein the motor rotates the disc at a substantially greater speed in response to a power input as compared to a storage assembly comprising a diameter defined by a ratio greater than 0.88" is vague and ambiguous.

More concretely, it is unclear, in light of the instant specification, as to what is considered a substantially greater design speed. Is it 10 percent above an arbitrary design speed, 5 percent, 25 percent, 50 percent, 100 percent? The instant specification provides no definition or adequate description which would provide any basis for determining the metes and bounds of such a claim limitation.

With regard to claim 45, the phrase "the motor rotates the disc at a substantially greater speed in response to a power input whereby the data storage assembly operates with substantially the same heat as compared to a storage assembly comprising a diameter defined by a ratio greater than 0.88" is vague and ambiguous.

Similarly, it is unclear, in light of the specification, as to the scope of "substantially the same heat" requirements. The specification is completely silent with regard to any definition, express or otherwise implied, that would allow a meaningful understanding of "substantially similar." Is it 10 percent differential, 5 percent, 25 percent, 50 percent 100 percent? The instant specification again affords no definition or adequate description which would provide any basis for determining the metes and bounds of such a claim limitation.

This rejection is also applicable to claim 50 (lines 4-5) which recites ambiguous limitations as applied to "substantially similar operating temperatures" and "substantially similar power levels." There is no basis for determining what is substantially similar, when the instant specification is consulted.

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The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 36-51 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

With regard to claim 36, lines 6-8, the phrase "at least one data storage disc comprising a diameter defined by a ratio of the disc diameter to the housing width being within the range of 0.66 to 0.88" has no support in the disclosure as originally filed.

More concretely, the original specification discloses a disk having a diameter of 84mm and a disk drive width of 101.6mm. See, e.g., page 10, 2nd paragraph; page 17, line 14; page 18, lines 26-28; original claims 2 and 4. It is worth noting that the original disclosure references only a disc having a diameter of 84 mm *in association with* a housing width of 101.6 mm, wherein at each and every recitation of the disc diameter and housing width, the recitations of 84 mm and 101.6 mm are exact. There is no "approximately 84 mm" and/or approximately 101.6 mm ever recited in the original disclosure. Thus, while there is support for a ratio of the disc diameter to the housing width being 0.83 (84 mm divided by 101.6 mm, rounded to two decimal places), there is a complete lack of support for the newly claimed range of "0.65 to 0.88." In fact, the newly recited range now claimed by the Applicant includes a lower limit that is

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apparently derived from an attempt to obviate an art rejection to Takatsuka et al (JP 4-205776 A), and not in any way from the disclosure as originally filed.

Similarly, claims 49, 50 and 51 containing nearly identically claimed ranges are rejected for the reason noted in claim 36, *supra*.

Similarly, with regard to claim 47, the phrase "a housing comprising 3 ½ inch standard form factor ... a rotatable data storage disc comprising a diameter within a range of 0.68 to 89 mm" has no support in the original disclosure. While there exists support for a 3 ½ inch standard form factor configuration (i.e., 101.6 mm width) associated with a data storage disc comprising a diameter equal to 84 mm, there is absolutely no support or suggestion whatsoever, to provide an even smaller disc in the 3 ½ inch standard form factor configuration.

With regard to claims 42, 46 and 48, the recitation of "a design speed of at least 10,000 rpm" finds no support for any speed over 10,000 rpm in the original disclosure. See, e.g., page 11, line 3 of the instant application. The claim could be supported if recited to state "a design speed up to 10,000 rpm" but not for a range that is above 10,000 rpm, for which no support can be found in the original disclosure.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

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Claims 36-51 are rejected under 35 U.S.C. 103(a) as being unpatentable over Takatsuka et al. (JP 04-205776 A).

As per claims 36 and 51, Takatsuka et al. (JP 4-205776 A) discloses a data storage assembly comprising: a housing (1, 14) comprising a standard form factor configuration (e.g., 5 ½ - which has a standard known form factor width of 146.05 mm) associated with a standard width, length and height of the housing (1, 14); and a data storage device supported in the housing (1, 14) comprising: at least one data storage disc (9) comprising a diameter defined by a ratio of the disc diameter to the housing width being within the range of 0.65 to 0.88 (a 3.5 inch diameter disc - corresponding to 95 mm; and a form factor housing size of a standard drive of 5 ½ - corresponding to a standard width of 146.05 mm, yields a ratio of 0.65), the at least one disc (9) operably coupled to a single spindle (4); and a head/ actuator assembly (6, 7) for reading data from and writing data to a selected ones of the discs (9).

Additionally, as per claim 51, a standard form factor configuration associated with a standard width, length and height, and a data storage device supported in the housing adapted to receive a rotatable data storage disc comprising a diameter defined by a ratio of the disc diameter to the housing width being greater than or equal to 0.89 (e.g., a 5 ¼ disc within the form factor for a 5 ¼ disk drive - a ratio of 0.89, rounded to two decimal places, since a 5.25 inch disc has a diameter of 130 mm, and a standard housing that houses such a disk, has a standard width of 146.05 mm), wherein the 3.5 inch disk of Takatsuka et al. (JP 4-205776 A) is defined by the ratio of the disc diameter to the housing width being less than or equal to 0.88 and greater than 0.65, as discussed, *supra*.

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With regard to claims 37, 40, 41 and 47, although Takatsuka et al. (JP 04-205776 A) does not expressly show a standard 3 ½ inch configuration disk drive (low profile or half-high), Official notice is taken that such disk drive standard configurations (low profile or half-high) are notoriously old and well known in the art.

Given the teaching of Takatsuka et al. (JP 04-205776 A), i.e., providing smaller than maximum allowable diameter disks within disk drive housings constructed for maximum allowable diameter disks, it would have been obvious to one of ordinary skill in the art at the time the invention was made to provide the teachings of providing smaller sized diameter disk within a disk drive housing built for larger diameter disks, as being applied to a 3 ½ inch disk drive (low profile or half-high).

The rationale is as follows: one of ordinary skill in the art at the time the invention was made to provide the teachings of providing smaller sized diameter disk within a disk drive housing built for larger diameter disks, as being applied to a 3 ½ inch disk drive (low profile or half-high) in order to provide the benefits espoused by Takatsuka et al. (JP 04-205776 A), including providing cheaper disks, reducing the size of the overall HDA, whereby the PCB packaging dimensions can be made larger; HDA sway space can be made larger, and the weight/inertial moment and gyro moment of the motor bearing becomes smaller. See page 14, second paragraph of enclosed English translation.

Similarly, as per claims 36, 38, 39, 47 and 51, although Takatsuka et al. (JP 04-205776 A) does not explicitly disclose wherein each of the magnetic recording discs has a diameter of 84 mm (i.e., smaller than 95 mm as per claim 38), or wherein the ratio of such a disc diameter to a "standard" housing width ratio is within the range of 0.66 to 0.88 (claims 36, 50 and 51).

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housing width, or wherein the disk diameter is in a range of 68 to 89 mm, relative to a standard housing width of 3.5 inch form factor, given the teaching of Takatsuka et al. (JP 04-205776 A), i.e., in the *general case*, providing smaller than maximum allowable diameter disks within disk drive housings constructed for maximum allowable diameter disks, it would have been obvious to one of ordinary skill in the art at the time the invention was made to provide the teachings of Takatsuka et al. (JP 04-205776 A) of providing smaller sized diameter disk within a disk drive housing built for larger diameter disks.

The rationale is as follows: one of ordinary skill in the art at the time the invention was made to provide a smaller sized diameter disk of 84 mm within a disk drive housing built for larger diameter disks, (a concept already taught by Takatsuka et al. (JP 04-205776 A) for the reasons disclosed by Takatsuka et al. (JP 04-205776 A) and discussed, *supra*) in order to provide *the benefits espoused by Takatsuka et al.* (JP 04-205776 A), including, *inter alia*, in the general case, providing cheaper disks, reducing the size of the overall HDA, whereby the PCB packaging dimensions can be made larger; HDA sway space can be made larger, and the weight/inertial moment and gyro moment of the motor bearing becomes smaller. See page 14, second paragraph of enclosed English translation.

Also, as per claims 42, 46 and 48, although Takatsuka et al. (JP 04-205776 A) does not explicitly disclose wherein the operational design speed of the spindle motor is operational at 10,000 rpm, Official notice is taken that such design speeds are notoriously old and well known in the art.

Moreover, given the teaching of Takatsuka et al. (JP 04-205776 A), i.e., providing smaller than maximum allowable diameter disks within disk drive housings constructed for

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maximum allowable diameter disks, it would have been obvious to one of ordinary skill in the art at the time the invention was made to provide the teachings of Takatsuka et al. (JP 04-205776 A) of providing smaller sized diameter disks within a disk drive housing built for larger diameter disks, as being applied to spindle motor with an operational design speed of 10,000 rpm.

The rationale is as follows: one of ordinary skill in the art at the time the invention was made to provide the teachings of Takatsuka et al. (JP 04-205776 A) of providing smaller sized diameter disks within a disk drive housing built for larger diameter disks, as being applied to spindle motor with an operational design speed of 10,000 rpm (such speeds are now conventional) in order to provide the benefits espoused by Takatsuka et al. (JP 04-205776 A), including providing cheaper disks, reducing the vertical height and size of the overall HDA, whereby the PCB packaging dimensions can be made larger; HDA sway space can be made larger, and the weight/inertial moment and gyro moment of the motor bearing becomes smaller, within a conventionally rated 10,000 rpm disk drive. Additionally, as is notoriously old and well known, higher disk operating speeds allow for reduce disk latency and faster retrieving of data from a disk within a disk drive.

Additionally, with regard to claim 43, Takatsuka et al. (JP 04-205776 A) does not expressly disclose a prescribed number of disks within his drive, as being 6, Official notice is taken that the number of disks used within a disk drive is based on the desired drive capacity for information, a concept that is notoriously old and well known in the art.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to provide the smaller than maximum allowable diameter-disk disk drive of Takatsuka et al. (JP 04-205776 A) with less than the eight disks, such as six disks.

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The rationale is as follows: one of ordinary skill in the art would have been motivated to provide the smaller than maximum allowable diameter-disk disk drive of Takatsuka et al. (JP 04-205776 A) with less than the eight disks, such as six disks as set forth in claim 43 such that by providing less than eight disks, such as six disks in order to reduce the costs (less disks); concepts which are well known, established and appreciated by one having general knowledge within the disk drive art.

Additionally, it is noted that claims 44 and 45 are inherently met by the disclosure of Takatsuka et al. (JP 4-205776 A) since a disk having a smaller diameter for use in a disk drive configuration intended for a larger disc, will spin faster and/or produce less heat for the same given amount as a larger disc, since the inertia of the reduced diameter disc is smaller.

With regard to claims 49 and 50, see the discussion of claim 36, supra.

Absent a showing of criticality (i.e., unobvious or unexpected results), the 84mm sized diameter disk and a 10,000rpm rated disk speed, is considered to be within the level of ordinary skill in the art, given the teachings of Takatsuka et al. (JP 04-205776 A), i.e., providing smaller than maximum allowable diameter disk within disk drive housings constructed for larger diameter disks.

That is to say, Takatsuka et al. (JP 04-205776 A) teaches a result-effective variable; decrease disk diameter size within a disk drive built for larger disks, provide larger packaging PCB dimensions, increased HDA sway space and longer motor bearing life.

The prosecution history as a whole does not point to any "unexpected" results associated with a 84mm diameter disk, as opposed to any other disk smaller than a 95mm diameter disk, a 10,000 rpm spindle motor speed and a 3 ½ inch disk drive configuration.

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Additionally, the law is replete with cases in which when the mere difference between the claimed invention and the prior art is some range, variable or other dimensional limitation within the claims, patentability cannot be found.

It furthermore has been held in such a situation, the Applicant must show that the particular range is critical, generally by showing that the claimed range achieves unexpected results relative to the prior art range. *In re Woodruff*, 919 F.2d 1575, 1578, 16 USPQ2d 1934, 1936 (Fed. Cir. 1990).

Moreover, the instant disclosure does not set forth evidence ascribing unexpected results due to the claimed dimensions. See *Gardner v. TEC Systems, Inc.*, 725 F.2d 1338 (Fed. Cir. 1984), which held that the dimensional limitations failed to point out a feature which performed and operated any differently from the prior art.

Response to Arguments

Applicants' arguments filed January 16, 2004 have been fully considered but they are not persuasive.

The Applicants maintain that there is adequate support for a claimed range of 0.66 to 0.88 as it pertains to the disk diameter to standard housing width ratio, and/or support for a claimed disk range of 68 to 89 mm, as it pertains to a standard form factor housing width of 3 ½ inch, etc. As support, the Applicants cite among many adjectives speckled about their disclosure, including "faster," "greater," "smaller," "shorter" and "reduced." The Applicants appear to be of the opinion that such modifiers in conjunction with the embodiments of the Applicants disclosure, allow the Applicants to have as much leeway in modifying ranges, ratios, etc., as the prior art

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will allow, since preferred embodiments disclosing specification dimensions and ranges, ratios, are non-limiting.

The Examiner concurs in that the Applicants are indeed not limited to the their specifically disclosed embodiments; however, they are limited to what the fair teachings and suggestions of their disclosure would be to one having ordinary skill in the art. The Examiner notes that ranges and dimensions rejected under 35 USC 112 1st paragraph, *supra*, are not in any manner supported by *any* formulaic range, figures or drawings (scaled or unscaled), tables of data, etc. that would afford the person of ordinary skill in the art, to ascertain with a reasonable degree of certainty, that the Applicants had in their possession that ranges now being sought for coverage, particularly in the case where the previously known prior art encroaches and/or overlaps the invention as it pertains to such ranges, ratios and dimensions.

The Applicants seemingly are of the opinion that mere adjectives in combination with limiting and extremely close prior art (e.g., Takatsuka et al. (JP 04-205776 A)), can allow the Applicants to morph their ranges in a manner that is neither suggested, nor supported in anyway by their original disclosure.

The Examiner maintains that there is simply no guide or template in the Applicants' originally filed disclosure, to inform the person of ordinary skill in the art, the metes and bounds of anything other than the Applicants' disclosed embodiments as it pertains to the ratios, ranges and dimensions that the Applicants which to expand upon, relative to their original disclosure.

The original disclosure is simply silent when it comes to implying that their invention can be expanded upon via routine experimentation, to arrive at some unknown ratios, ranges, dimensions to achieve such ranges that the would fall within the Applicants original disclosure.

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Can the Applicants point to absolutely anything in their specification that espouses one of ordinary skill to experiment beyond what the disclosure suggests and teaches (perhaps graphs or formulas or data tables, etc.) that would suggest experimentation beyond what has been disclosed by the Applicants? It certainly would have greatly benefited the Applicants' position, if a statement or formulaic range, drawings, or data tables, etc. provided for in the Applicants' original disclosure, suggested that the Applicants teachings could be expanded upon to cover other ranges, dimensions, ratios, they are now attempting to claim. Unfortunately, some original disclosures (or the lack thereof) can sometimes be fatal.

Even *assuming arguendo* that the Applicants are able to manipulate their disclosure to introduce such unfounded dimensions, ratios and ranges, how then, can the Applicants reconcile that it would be readily recognizable to one of ordinary skill in the art to experiment with their specific disclosure, to arrive at such undisclosed "critical" cutoffs (e.g., a ratio of 0.66 as opposed to a ratio of 0.65) and not yet appreciate the teachings of the prior art, as exemplified by Takatsuka et al. (JP 04-205776 A)?

It seems that the Applicants are of the view that one of ordinary skill in the art would appreciate from their teachings other ranges outside the scope of their embodiments and/or disclosure (now 0.66 is critical, whereas of yesterday, it was 0.65, etc., and that one of ordinary skill in the art would somehow appreciate such a "critical" difference), while the same persons of ordinary skill in the art would not yet appreciate the teaching and disclosure of Takatsuka et al. (JP 04-205776 A) pertaining to the general case of reducing the disk size diameter, within a standard-size form factor housing.

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The Applicants seem to want to have it both ways. The original disclosure of Applicants, in their opinion, is broad enough for a multitude of undisclosed various ranges, ratios and dimensions, so long as the device has a certain sized-smaller disk housed within a standard-sized form factor housing for larger disk, while the general teachings of the prior art (e.g., Takatsuka et al. (JP 04-205776 A)) would somehow not be gleaned by that *same person* having the *same ordinary* skill in the art. It simply is a non sequitur.

What is so special about the Applicants' original disclosure relative to the disclosure of Takatsuka et al. (JP 04-205776 A) that would allow for the Applicants to modify their original disclosure to include unfounded dimensions, ranges and/or ratios? Is it the adjectives of "faster," "greater," "smaller," "shorter" and "reduced"? It is noted that in addition to specifically claimed dimensions, ratios, and ranges, Takatsuka et al. (JP 04-205776 A) discloses many adjectives as well including, but not limited to, "cheaper," "larger," "smaller," "faster, "speeding up of rotation," "lightweight," etc.

The Applicants allege that Claims 37-39, 40, 41, 43-45 stand rejected, but not explained in the Office Action.

The Examiner maintains that these claims have been rejected for the reasons clearly articulated in the current Office action, as well as is the Office action mailed July 16, 2003.

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to William J. Klimowicz whose telephone number is (703) 305-3452. The examiner can normally be reached on Monday-Thursday (6:30AM-5:00PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hoa T. Nguyen can be reached on (703) 305-9687. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

> William J. Klimowicz Primary Examiner Art Unit 2652

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